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U. S. Department of Commerce Patent and Trademark Office

ATTORNEY'S DOCKET NUMBER

PP/1-22042/A/CGM 499/PCT

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/019618

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

INTERNATIONAL APPLICATION NO.
PCT/EP 00/05899

INTERNATIONAL FILING DATE
June 26, 2000

PRIORITY DATE CLAIMED
July 2, 1999

TITLE OF INVENTION

Mon and multifunctional alkoxyamines for the preparation of functionalized macromers

APPLICANT(S) FOR DO/EO/US

Andreas Kramer, Peter Nesvadba, Marie-Odile Zink and Wiebke Wunderlich

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39 (1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau. (**See attached Form PCT/IB/308**)
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English 35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included.

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ **A FIRST preliminary amendment.**
 - ☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: (**S attach d F rm PCT/ISA/210**)

| | | | | | |
|--|--|---|--|---|--|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/019618 | | INTERNATIONAL APPLICATION NO. PCT/EP 00/05899 | | ATTORNEY'S DOCKET NUMBER PP/1-22042/A/CGM 499/PCT | |
|--|--|---|--|---|--|

| | | | | | |
|--|--------------|--------------|-----------|----------------------------------|-------------------|
| 17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)): Search Report has been prepared by the EPO or JPO \$890.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) \$710.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) \$740.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$1040.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4). \$100.00 <div style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT = \$890.00</div> | | | | CALCULATIONS PTO USE ONLY | |
| Surcharge of \$130.00 for furnishing the oath of declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). \$ | | | | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 27 - 20 = | 7 | X \$18.00 | \$126.00 | |
| Independent claims | 2 - 3 = | 0 | X \$84.00 | \$ | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | | + \$280.00 | \$ |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$1,016.00 | |
| Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28). \$ | | | | | |
| SUBTOTAL = | | | | \$1,016.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). + | | | | | |
| TOTAL NATIONAL FEE = | | | | \$1,016.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | | |
| TOTAL FEES ENCLOSED = | | | | \$ | |
| | | | | Amount to be: refunded | \$ |
| | | | | charged | \$1,016.00 |

a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.

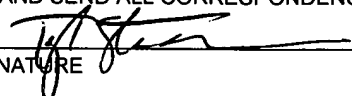
b. ☒ Please charge my Deposit Account No. 03-1935 in the amount of **\$1,016.00** to cover the above fees.
 A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to
 Deposit Account No. 03-1935. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

PLEASE ASSOCIATE THE ATTACHED APPLICATION WITH CUSTOMER NUMBER 000324 AND SEND ALL CORRESPONDENCE TO:

JoAnn Villamizar, Ciba Specialty Chemicals Corporation
 Patent Department
 540 White Plains Road
 P.O. Box 2005
 Tarrytown, NY 10591-9005
 DATE: **DEC 20 2001**


 SIGNATURE

Tyler A. Stevenson, Agent for Applicants
 NAME
Reg. No. 46,388